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PTO/SB/05 (03-01)  
Approved for use through 10/31/2002. OMB 0651-0032  
U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE

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# UTILITY PATENT APPLICATION TRANSMITTAL

(Only for new nonprovisional applications under 37 CFR 1.53(b))

Attorney Docket No. H6810.0011/P011

First Inventor Masahiko Ando

Title THIN FILM TRANSISTOR, LIQUID, etc.

Express Mail Label No.

## APPLICATION ELEMENTS

See MPEP chapter 600 concerning utility patent application contents.

1. ☒ Fee Transmittal Form (e.g., PTO/SB/17)  
(Submit an original, and a duplicate for fee processing)
2. ☐ Applicant claims small entity status.  
See 37 CFR 1.27.
3. ☒ Specification [Total Pages 53]  
(preferred arrangement set forth below)
  - Descriptive title of the invention
  - Cross Reference to Related Applications
  - Statement Regarding Fed sponsored R & D
  - Reference to sequence listing, a table, or a computer program listing appendix
  - Background of the invention
  - Brief Summary of the Invention
  - Brief Description of the Drawings (if filed)
  - Detailed Description
  - Claim(s)
  - Abstract of the Disclosure
4. ☒ Drawing(s) (35 U.S.C. 113) [Total Sheets 6]
5. Oath or Declaration [Total Pages ]
  - a. ☒ Newly executed (original or copy)
  - b. ☐ Copy from a prior application (37 CFR 1.63(d))  
(for continuation/divisional with Box 18 completed)
  - i. ☐ DELETION OF INVENTOR(S)  
Signed statement attached deleting inventor(s) named in the prior application, see 37 CFR 1.63(d)(2) and 1.33(b).
6. ☐ Application Data Sheet. See 37 CFR 1.76

ADDRESS TO: Box Patent Application  
Commissioner for Patents  
Washington, DC 20231

7. ☐ CD-ROM or CD-R in duplicate, large table or Computer Program (Appendix)
8. Nucleotide and/or Amino Acid Sequence Submission (if applicable, all necessary)
  - a. ☐ Computer Readable Form (CRF)
  - b. Specification Sequence Listing on:
    - i. ☐ CD-ROM or CD-R (2 copies); or
    - ii. ☐ paper
  - c. ☐ Statements verifying identity of above copies

## ACCOMPANYING APPLICATIONS PARTS

9. ☒ Assignment Papers (cover sheet & document(s))
10. ☐ 37 CFR 3.73(b) Statement (when there is an assignee) ☒ Power of Attorney
11. ☐ English Translation Document (if applicable)
12. ☒ Information Disclosure Statement (IDS)/PTO-1449 ☒ Copies of IDS Citations
13. ☒ Preliminary Amendment
14. ☒ Return Receipt Postcard (MPEP 503)  
(Should be specifically itemized)
15. ☒ Certified Copy of Priority Document(s)  
(if foreign priority is claimed)
16. ☐ Nonpublication Request under 35 U.S.C. 122 (b)(2)(B)(i).  
Applicant must attach form PTO/SB/35 or its equivalent.
17. ☐ Other:

18. If a CONTINUING APPLICATION, check appropriate box, and supply the requisite information below and in a preliminary amendment, or in an Application Data Sheet under 37 CFR 1.76:

☐ Continuation ☐ Divisional ☐ Continuation-in-part (CIP) of prior application No.:

Prior application information: Examiner Group / Art Unit:

For CONTINUATION or DIVISIONAL APPS only: The entire disclosure of the prior application, from which an oath or declaration is supplied under Box 5b, is considered a part of the disclosure of the accompanying continuation or divisional application and is hereby incorporated by reference. The incorporation can only be relied upon when a portion has been inadvertently omitted from the submitted application parts.

## 19. CORRESPONDENCE ADDRESS

☐ Customer Number or Bar Code Label

or ☒ Correspondence address below

|         |  |           |                |          |                |
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|                   |                  |                                   |               |
|-------------------|------------------|-----------------------------------|---------------|
| Name (Print/Type) | Mark J. Thronson | Registration No. (Attorney/Agent) | 33,082        |
| Signature         |                  | Date                              | July 11, 2001 |

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**FEE TRANSMITTAL  
for FY 2001**

Patent fees are subject to annual revision.

**Complete if Known****TOTAL AMOUNT OF PAYMENT (\$)** 2,794.00

|                      |                  |
|----------------------|------------------|
| Application Number   | Not Yet Assigned |
| Filing Date          | July 11, 2001    |
| First Named Inventor | Masahiko Ando    |
| Examiner Name        | Not Yet Assigned |
| Group Art Unit       | N/A              |
| Attorney Docket No.  | H6810.0011/P011  |

**METHOD OF PAYMENT**

- 1.
- ☒
- The Commissioner is hereby authorized to charge indicated fees and credit any overpayments to:

Deposit  
Account  
Number

04-1073

Deposit  
Account  
Name☒ Charge Any Additional  
Fee Required Under  
37 CFR 1.16 and 1.17☐ Applicant claims small  
entity status. See  
37 CFR 1.27

- 2.
- ☒
- Payment Enclosed

☒ Check☐ Credit Card☐ Money Order☐ Other**FEE CALCULATION****1. BASIC FILING FEE**

| Large Entity<br>Fee<br>Code | Large Entity<br>Fee<br>(\$) | Small Entity<br>Fee<br>Code | Small Entity<br>Fee<br>(\$) | Fee Description        | Fee Paid |
|-----------------------------|-----------------------------|-----------------------------|-----------------------------|------------------------|----------|
| 101                         | 710                         | 201                         | 355                         | Utility filing fee     | 710.00   |
| 106                         | 320                         | 206                         | 160                         | Design filing fee      |          |
| 107                         | 490                         | 207                         | 245                         | Plant filing fee       |          |
| 108                         | 710                         | 208                         | 355                         | Reissue filing fee     |          |
| 114                         | 150                         | 214                         | 75                          | Provisional filing fee |          |

**SUBTOTAL (1) (\$)** 710.00**2. EXTRA CLAIM FEES**

| Total Claims       | Extra<br>Claims | Fee from<br>below | Fee Paid |
|--------------------|-----------------|-------------------|----------|
| 98                 | -20** = 78      | 18.00             | 1,404.00 |
| 11                 | -3** = 8        | 80.00             | 640.00   |
| Multiple Dependent |                 |                   |          |

| Large Entity<br>Fee<br>Code | Large Entity<br>Fee<br>(\$) | Small Entity<br>Fee<br>Code | Small Entity<br>Fee<br>(\$) | Fee Description  |
|-----------------------------|-----------------------------|-----------------------------|-----------------------------|--|
| 103                         | 18                          | 203                         | 9                           | Claims in excess of 20                                     |
| 102                         | 80                          | 202                         | 40                          | Independent claims in excess of 3                          |
| 104                         | 270                         | 204                         | 135                         | Multiple dependent claim, if not paid                      |
| 109                         | 80                          | 209                         | 40                          | ** Reissue independent claims over original patent         |
| 110                         | 18                          | 210                         | 9                           | ** Reissue claims in excess of 20 and over original patent |

**SUBTOTAL (2) (\$)** 2,044.00

\*\*or number previously paid, if greater; For Reissues, see above

**FEE CALCULATION (continued)****3. ADDITIONAL FEES**

| Large Entity<br>Fee<br>Code | Large Entity<br>Fee<br>(\$) | Small Entity<br>Fee<br>Code | Small Entity<br>Fee<br>(\$) | Fee Description  | Fee Paid |
|-----------------------------|-----------------------------|-----------------------------|-----------------------------|--|----------|
| 105                         | 130                         | 205                         | 65                          | Surcharge - late filing fee or oath  |          |
| 127                         | 50                          | 227                         | 25                          | Surcharge - late provisional filing fee or cover sheet.                    |          |
| 139                         | 130                         | 139                         | 130                         | Non-English specification  |          |
| 147                         | 2,520                       | 147                         | 2,520                       | For filing a request for <i>ex parte</i> reexamination                     |          |
| 112                         | 920*                        | 112                         | 920*                        | Requesting publication of SIR prior to Examiner action                     |          |
| 113                         | 1,840*                      | 113                         | 1,840*                      | Requesting publication of SIR after Examiner action                        |          |
| 115                         | 110                         | 215                         | 55                          | Extension for reply within first month                                     |          |
| 116                         | 390                         | 216                         | 195                         | Extension for reply within second month                                    |          |
| 117                         | 890                         | 217                         | 445                         | Extension for reply within third month                                     |          |
| 118                         | 1,390                       | 218                         | 695                         | Extension for reply within fourth month                                    |          |
| 128                         | 1,890                       | 228                         | 945                         | Extension for reply within fifth month                                     |          |
| 119                         | 310                         | 219                         | 155                         | Notice of Appeal   |          |
| 120                         | 310                         | 220                         | 155                         | Filing a brief in support of an appeal                                     |          |
| 121                         | 270                         | 221                         | 135                         | Request for oral hearing   |          |
| 138                         | 1,510                       | 138                         | 1,510                       | Petition to institute a public use proceeding                              |          |
| 140                         | 110                         | 240                         | 55                          | Petition to revive - unavoidable   |          |
| 141                         | 1,240                       | 241                         | 620                         | Petition to revive - unintentional   |          |
| 142                         | 1,240                       | 242                         | 620                         | Utility issue fee (or reissue)   |          |
| 143                         | 440                         | 243                         | 220                         | Design issue fee   |          |
| 144                         | 600                         | 244                         | 300                         | Plant issue fee  |          |
| 122                         | 130                         | 122                         | 130                         | Petitions to the Commissioner  |          |
| 123                         | 50                          | 123                         | 50                          | Processing fee under 37 CFR 1.17(q)  |          |
| 126                         | 180                         | 126                         | 180                         | Submission of Information Disclosure Stmt                                  |          |
| 581                         | 40                          | 581                         | 40                          | Recording each patent assignment per property (times number of properties) | 40.00    |
| 146                         | 710                         | 246                         | 355                         | Filing a submission after final rejection (37 CFR 1.129(a))                |          |
| 149                         | 710                         | 249                         | 355                         | For each additional invention to be examined (37 CFR 1.129(b))             |          |
| 179                         | 710                         | 279                         | 355                         | Request for Continued Examination (RCE)                                    |          |
| 169                         | 900                         | 169                         | 900                         | Request for expedited examination of a design application                  |          |

Other fee (specify)

\*Reduced by Basic Filing Fee Paid

**SUBTOTAL (3) (\$)** 40.00**SUBMITTED BY**

Name (print/type) Mark J. Thronson

Registration No.  
(Attorney/Agent)

33,082

**Complete (if applicable)**

Telephone (202) 775-4742

Signature



Date

July 11, 2001

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